

PTO/SB/08A (10-01)
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Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Application Number	09/931,149	
			Filing Date	August 16, 2001	
			First Named Inventor	David Rios, et al.	
			Art Unit	2164	
			Examiner Name	not yet known	
Sheet	1	of	2	Attorney Docket Number	016422/142

U.S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
[Signature]		US- 5,819,238	10-6-98	FERNHOLZ	
		US- 6,061,663	5-9-00	BLOOM, et al.	
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		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

Examiner Signature	[Signature]	Date Considered	11/26/01
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Substitution for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Compl to if Known	
Sheet	2	of	2	Application Number	09/931,149
				Filing Date	August 16, 2001
				First Named Inventor	David Rios, et al.
				Group Art Unit	2164
				Examiner Name	not yet known
				Attorney Docket Number	016422/142

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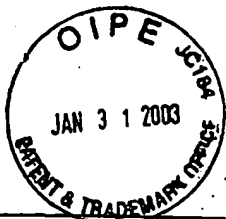
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FORM PTO-1449 U.S. Department of Commerce Patent and Trademark Office	Serial No. 09/931,149
INFORMATION DISCLOSURE STATEMENT	Inventors: David Rigsby et al.
(Use several sheets if necessary)	Docket No. 16422-142

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U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SV	5,227,967	July 13, 1993	Bailey			
	5,774,880	June 30, 1998	Ginsberg			
	5,812,987	Sep. 22, 1998	Luskin, et al.			
	5,812,988	Sep. 22, 1998	Sandretto			
	5,940,810	Aug. 17, 1999	Traub			
	5,987,435	Nov. 16, 1999	Weiss, et al.			
	6,058,377	May 2, 2000	Traub et al.			
	6,026,381	Feb. 15, 2000	Barton, III et al.			

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FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION

OTHER DOCUMENTS

EXAMINER INITIAL	AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
SV	Investment Dealers' Digest, June 28, 1999, pgs. 4-5
	MBS Index Returns: A Detailed Look, Journal of Fixed Income, March 1999
	Bondweek, October 26, 1998

EXAMINER <i>[Signature]</i>	DATE CONSIDERED 1/26/04
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Form PTO-1449 [6-4]

